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Date: August 15, 2002

Wa Osk  
Warren A. Sklar

#5  
10/9

Case No: UNIVP104USA

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Applicant: Roth et al.

Examiner: Not Assigned

Serial No.: 10/055,282

Art Unit: 3737

Filing Date: January 22, 2002

Title: METHOD AND APPARATUS FOR POLARIZATION-SENSITIVE OPTICAL  
COHERENCE TOMOGRAPHY

Commissioner for Patents  
U.S. Patent and Trademark Office  
Washington, D.C. 20231

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INFORMATION DISCLOSURE STATEMENT

TECHNOLOGY CENTER R3700

Sir:

Enclosed herewith are an International Search Report (ISR) Document mailed on May 8, 2002, copies of the references cited therein, and an Information Disclosure Statement (IDS) listing the references.

Respectfully submitted,  
RENNER, OTTO, BOISSELLE & SKLAR, LLP

Wa Osk  
Warren A. Sklar, Registration No. 26,373

DATE: August 15, 2002

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Docket No. UNIVP104USA

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: Roth et al.  
Serial No.: 10/055,282  
Filed: January 22, 2002  
For: METHOD AND APPARATUS FOR POLARIZATION-SENSITIVE OPTICAL COHERENCE TOMOGRAPHY

Art Unit: 3737  
Examiner: Not Assigned

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
U.S. Patent and Trademark Office  
Washington, D.C. 20231

FE-10

AUG 23 2002

TECHNOLOGY CENTER 80700

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, pending applications, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.: \_\_\_\_\_  
Filing Date: \_\_\_\_\_

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) X Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) \_\_\_\_\_ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a) \_\_\_\_\_ Within 3 months of the filing date, date of entry into the National Stage, or filing date of CPA.
- (b) \_\_\_\_\_ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988 for consideration of this Statement.
- (c) \_\_\_\_\_ Before the mailing date of a first Office Action on the merits after a first or second submission after final

rejection under 37 C.F.R. 1.129(a).

(d) X After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) X The required certification is given below, or

(2)     Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or

(3)     Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988

(e)     After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

(1)     Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p), or

(2)     Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988.

4. Certification (if applicable)

(a) X The undersigned hereby certifies that each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b)     The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 18-0988.

Respectfully Submitted,

RENNER, OTTO, BOISSELLE & SKLAR, LLP

By Wa Ash  
Warren A. Sklar  
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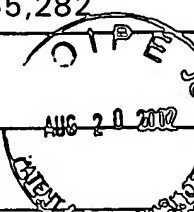
CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

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Date: 8/15/02

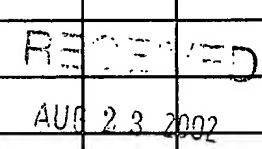
Wa Ash  
Warren A. Sklar

Form PTO-1449 (Modified)  LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)	Atty Docket No. UNIVP104USA	Serial No. 10/055,282
	Applicant: Roth et al.	
	Filing Date January 22, 2002	Group 3737



## U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Sub-class	Filing Date if Appropriate



## FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Sub-class	Translation	
						Yes	No
	WO0069333A	23/11/00	PCT				

## OTHER ART

Examiner Initial	Author, Title, Date, Pertinent Pages, etc.
	Everett M.J. et al: "Non-invasive Diagnosis Of Early Caries With Polarization Sensitive Optical Coherence Tomography", PROCEEDINGS OF THE SPIE, SPIE, BELLINGHAM, VA, us, Vol. 3593, 24 January 1999, pages 177-182, XP000931184, Chapter 3, pages 178-179, Figure 1
	Boer De J.F. et al: "Polarization Effects In Optical Coherence Tomography of Various Biological Tissues", IEEE JOURNAL OF SELECTED TOPICS IN QUANTUM ELECTRONICS, IEEE SERVICE CENTER, US., Vol. 5, No. 4, July 1999, pages 1200-1203, XP00893469, Chapter III, pages 1200-1201, Figure 1

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

## Information Disclosure Statement PTO-1449 (Modified)

The identification of any reference is not intended to be, and should not be understood as being, an admission that such publication, in fact, constitutes "prior art" within the meaning of applicable law since, for example, a given reference may have a later effective date than first seems apparent or the reference may have an effective date which can be antedated. The "prior art" status of any reference is a matter to be resolved during prosecution.

C:\Share\113\WAS\UNIVP104USA\IDS-1449.wpd (IDS1449.FRM) (2/97)